17589 U.S.PTO
101403

22386 U.S.PTO
10/685623
101403

PATENT
Docket No: **SHAU-0201**

MS Patent Application
Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of
Inventor(s): **Jeng-Jye Shau**

WARNING: Patent must be applied for in the name(s) of all the actual inventor(s). 37 CFR 1.41(a) and 1.53(b).

For (Title) : METHODS AND CONFIGURATION TO SIMPLIFY CONNECTIONS BETWEEN POLYSILICON LAYER AND DIFFUSION AREA

1. Type of Application

This new application is a(n) (check one applicable item below):

X Original
_ Design
_ Plant

WARNING: Do not use this transmittal for a completion in the U.S. of an International Application under 35 U.S.C. 371(c)(4) unless the International Application is being filed as a divisional, continuation or continuation-in part Application.

NOTE: If one of the following 3 items apply then complete and attach ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF A PRIOR U.S. APPLICATION CLAIMED.

_ Divisional
_ Continuation
_ Continuation-in-part (CIP)

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date **October 14, 2003** in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number **ER276426584US** addressed to the : Commissioner for Patents, P.O.Box 1450, Alexandria, VA 22313-1450.

Ching-lu Lin
(Type or print name of person mailing paper)

(Signature of person mailing paper)

NOTE: Each paper or fee referred to as enclosed herein has the number of the "Express Mail" mailing label placed thereon to mailing. 37 CFR 1.10(b).

2. Benefit of Prior U.S. Application(s) (35 USC 120)

NOTE: If the new application being transmitted is a divisional, continuation or a continuation-in-part of a parent case, or where the parent case is an International Application which designated the U.S., then check the following item and complete and attach ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.

X The new application being transmitted claims the benefit of prior U.S. application(s) and enclosed are ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.

3. Papers Enclosed Which Are Required For Filing Date Under 37 CFR 1.53(b) (Regular) or CFR 1.153 (Design) Application

__5__ Pages of specification
__5__ Pages of claims
__1__ Pages of Abstract
__4__ Pages of Drawings
X formal
__ informal

WARNING: DO NOT submit original drawings. A high quality copy of the drawings should be supplied when filing a patent application. The drawings that are submitted the Office must be on strong, white, smooth, and non-shiny paper and meet the standards according to 1.84. If corrections to the drawings are necessary, they should be made to the original drawing and a high-quality copy of the corrected original drawing then submitted the Office. **Only one copy is required or desired.** Comments on proposed new 37 CFR 1.84. Notice of March 9, 1988 (1990 O.G. 57-62).

NOTE: "Identify indicia such as the serial number, group and unit, title of the invention, attorney's docket number, inventor's name, number of sheets, etc., not to exceed 2 3/4 inches (7.0 cm.) in which may be placed in a centered location between the side edges within three fourths inch (19.1 mm.) of the top edge. Either this marking technique on the front of the drawing is acceptable." Proposed 37 CFR 1.84 (1). Notice of March 9, 1988 (1090 O.G. 57-62)

4. Additional papers enclosed

_ Preliminary amendment
_ Information Disclosure Statement
_ Form PTO-1449
_ Citations
_ Declaration of Biological Deposit
_ Submission of "Sequence Listing," computer readable copy and/or amendment pertaining thereto for biotechnology invention containing nucleotide and/or amino acid sequence.
_ Authorization of Attorney(s) to Accept and Follow Instructions from Representative
_ Special Comments
_ Other

5. Declaration or oath

X Enclosed

executed by (*check **all** applicable boxes*)

X inventor(s).

_ legal representative of inventor(s) . 37 CFR 1.42 or 1.43

_ joint inventor or person showing a proprietary interest on behalf of inventor who refused to sign or cannot be reached

_ this is the petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 is also attached. *See item 13 below for fee.*

_ Not Enclosed.

WARNING: Where the filing is a completion in the U.S. of an International Application but where a declaration is not available or where the completion of the U.S. application contains subject matter in addition to the International Application the application may be treated as a continuation or continuation-in-part as the case may be, utilizing ADDED PAGE FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION CLAIMED.

_ Application is made by a person authorized under 37 CFR 1.41 (c) on behalf of *all* the above named inventor(s). The declaration or oath, along with the surcharge required by 37 CFR 1.16 (e) can be filed subsequently.

NOTE: It is important that all the correct inventor(s) are named for filing under 37 CFR 1.41 (c) and 1.53 (b).

6. Inventorship Statement

WARNING: If the named inventors are each not the inventors of all the claims an explanation, including the ownership of the various claims at the time the **last** claimed invention was made, should be submitted.

The inventorship for all the claims in this application are:

X The same

or

_ Are not the same. An explanation, including the ownership of the various claims at the time the **last** claimed invention was made.

_ is submitted

_ will be submitted.

7. Language

NOTE: An application including a signed oath or declaration may be filed in a language other than English. A verified English translation of the non-English language application and the processing fee of $30.00 required by 37 CFR 1.17(k) is required to be filed with the application or within such time as may be set by the Office. 37 CFR 1.5(d).

NOTE: A non-English oath or declaration in the form provided or approved by the PTO need not be translated. 37 CFR 1.69(b).

X English

_ non-English

_ the attached translation is a verified translation. 37 CFR 1.52(d).

8. **Assignment**

__An assignment of the invention to _____

___ is attached

_ will follow

NOTE: "If an assignment is submitted with a new application, send two separate letters-one for the application and one for the assignment" Notice of May 4, 1990.

9. Certified Copy

Certified cop(ies) of application(s)

_____

(country) (appl.no.) (filed)

from which priority is claimed

_ is (are) attached . A separate "ASSIGNMENT COVER LETTER ACCOMPANYING NEW PATENT APPLICATION" is also attached

_ will follow.

NOTE: The foreign application forming the basis for the claim for priority must be referred to in the oath or declaration. 37CFR 1.55(a) and 1.63.

NOTE: This item is for any foreign priority for which the application being filed directly relates. If any parent U.S. application or International Application from which this application claims benefit under 35USC120 is itself entitled to priority from a prior foreign application then complete item 18 on the ADDED PAGES FOR NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED.

10 Fee Calculation (37 CFR 1.16)

A X Regular application

CLAIMS AS FILED				
Number filed	**Number Extra**	**Rate**	**Basic Fee**	**$770.00**
Total				
Claims 37 CFR 1.16(c)	**20-20 = 0**	**x**	**$18.00**	**0.00**
Independent				
Claims (37CFR 1.16(b))	**4 -3 = 1**	**x**	**$86.00**	**86.00**
Multiple dependent claim(s), if any				
(37 CFR 1.16(d))			**$290.00**	**0.00**

_ Amendment Cancelling extra claims enclosed.

_ Amendment deleting multiple-dependencies enclosed.

_ Fee for extra claims is not being paid at this time.

note: If the fees for extra claims are not paid on filing they must be paid or the claims cancelled by amendment, prior to the expiration of the time period set for response by the Patent and Trademark Office in any notice of fee deficiency. 37CFR1.16(d).

Filing fee calculation $ 856.00

B. _ Design application
($310.00 - 37 CFR 1.16(f))

Filing fee calculation $_____

C _ Plant application
($510.00 - 37 CFR 1.16(g))

Filing fee calculation $_____

11. Small Entity Statement(s)

_X This is a filing by a small entity under 37 CFR 1.9 and 1.27.

Filing Fee Calculation (50% of **A, B,** or **C** above) $ 428.00

NOTE: any excess of the full fee paid will be refunded if a verified statement and a refund request are filed within 2 months of the date of timely payment of a full fee. 37 CFR 1.28(a).

12. Request for International-Type Search (37 CFR 1.104(d)) (*complete, if applicable*)

_ Please prepare an international-type search report for this application at the time when national examination on the merits takes place.

13. Fee Payment Being Made At This Time

_ Not Enclosed

_ No filing fee is to paid at this time. (*This and the surcharge required by 37 CFR 1.16(e) can be paid subsequently.*)

X Enclosed

X basic filing fee $ 428.00

_ recording assignment ($40.00; 37 CFR 1.21(h)) $_____

_petition fee for filing by other than all the inventors or person on behalf of the inventor where inventor refused to sign or cannot be reached. ($120.00; 37 CFR 1.47 and 1.17(h)) $_____

_ for processing an application with a specification in a non-English language. ($300.00; 37 CFR 1.52(d) and 1.17(k)) $_____

_ processing and retention fee ($130.00; 37 CFR 1.53(d) and 1.21(l))

_ fee for international-type search report ($40.00; 37 CFR 1.21(e)) $_____

NOTE: 37 CFR 1.21(l) establishes a fee for processing and retaining any application which is abandoned for failing to complete the application pursuant to 37 CFR 1.53(d) and this, as well as the changes to 37 CFR 1.53 and 1.78, indicate that in order to obtain the benefit of a prior U.S. application, either the basic filing fee must be paid or the processing and retention fee of 1.21(l) must be paid within 1 year from notification under 53(d).

Total fees enclosed $ 428.00

14. Method of Payment of Fees

X Check in the amount of $ 428.00

_ Charge Account No. in the amount of $_____. A duplicate of this transmittal is attached.

NOTE: Fees should be itemized in such a manner the it is clear for which purpose the fees are paid. 37 CFR 1.22(b).

15. Authorization to Charge Additional Fees

WARNING: if no fees are to be paid on filing the following items should **not** be completed.

WARNING: Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges, if extra claim charges are authorized.

X The Commissioner is hereby authorized to charge the following additional fees by this paper and during the entire pendency of this application to Account No. 12-0005.

X 37 CFR 1.16(a), (f) or (g) (filing fees)

X 37 CFR 1.16(b), (c) and (d) (presentation of extra claims)

NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 CFR 1.16(d)) it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.

_ 37 CFR 1.16(e) (surcharge for filing the basic filing fee and/or declaration on a date later then the filing date of the application)

_ 37 CFR 1.17 (application processing fees)

WARNING: While 37 CFR 1.17(a),(b) (c) and (d) deal with extensions of time under 1.136(a) this authorization should be made only with the knowledge that: "Submission of the appropriate extension fee under 37 C.F.R. 1.136(a) is to avail unless a request or petition for extension is filed." (Emphasis added). Notice of November 5, 1985 (1060 O.G. 27)

_ 37 CFR 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 CFR 1.311(b))

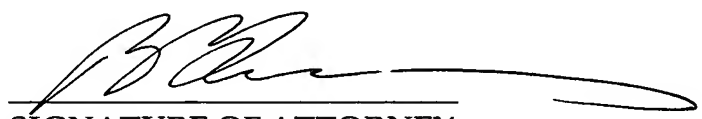
NOTE: Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the notice of allowance. 37 CFR 1.311(b).

NOTE: 37 CFR 1.28(b) requires "Notification of any change in loss of entitlement to small entity status must be filed in the application...prior to paying, issue fee". From the wording of 37 CFR 1.28(b): (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity.

16. Instructions As to Overpayment

_ credit Account No.

X refund



Reg. No.**33,948**

SIGNATURE OF ATTORNEY

Bo-In Lin

Type or print name of attorney

Tel. No. (650) 949-0418

P.O. Address :

13445 Mandoli Drive,

Los Altos Hills, CA 94022

X Incorporation by reference of added pages

Check the following item if the application in this transmittal claims the benefit of prior U.S. application(s) (including an international application entering the U.S. stage as a continuation, divisional or C-I-P application) and complete and attach the ADDED PAGES FOR A NEW APPLICATION TRANSMITTAL WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED

X Plus Added Pages For New Application Transmittal Where Benefit Of Prior U.S. Application(s) Claimed

Number of pages added Two

_ Plus Added Pages For Papers Referred To In Item 4 Above

Number of pages added _____

_ Plus "Assignment Cover Letter Accompanying New Application"

Number of pages added _____

_ Statement Where No Further Pages Added

(If no further pages form a part of this Transmittal then end this Transmittal with this page and check the following item)

_ This transmittal ends with this page